

CLAIMS

We claim:

1. A computer system for tracking client advice interactions, the computer system comprising:

5 a server computer;

a database stored on the server computer;

at least one client computer connected to the server computer via a computer network; and

an advice documentation program executable by the
10 client computer, wherein the advice documentation program comprises computer instructions for:

creating a record of a customer interaction;

selecting a type of the customer interaction;

and

15 collecting information about the customer interaction based on the type of the customer interaction.

2. The computer system of claim 1, wherein the
20 advice documentation program further comprises computer instructions for creating a suitability record for a customer.

3. The computer system of claim 1, wherein the
25 advice documentation program further comprises computer instructions for creating an assessment record for a customer.

4. The computer system of claim 1, further
30 comprising an advice tracking program executable by the client computer, wherein the advice tracking program comprises computer instructions for:

selecting customer interaction records stored
in the database; and

reviewing the selected customer interaction
records.

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5. The computer system of claim 4, wherein the
selected customer interaction records are reviewed to
monitor compliance with trading regulations.

10 6. The computer system of claim 4, wherein the
advice tracking program further comprises computer
instructions for:

searching the customer interaction records
stored in the database according to one or more
15 parameters; and

presenting the customer interaction records
that satisfy the search parameters.

20 7. The computer system of claim 1, wherein the
database stores historical records of customer
interactions.

8. A method of tracking client advice
interactions, the method comprising:

25 creating a record of a customer interaction;
selecting a type of the customer interaction;
and

collecting information about the customer
interaction based on the type of the customer
30 interaction.

9. The method of claim 8, further comprising
creating a suitability record for a customer.

10. The method of claim 8, further comprising
5 creating an assessment record for a customer.

11. The method of claim 8, further comprising:
selecting customer interaction records stored
in the database; and
10 reviewing the selected customer interaction
records.

12. The method of claim 11, wherein the selected
customer interaction records are reviewed to monitor
15 compliance with trading regulations.

13. The method of claim 11, further comprising:
searching the customer interaction records
stored in a database according to one or more
20 parameters; and
presenting the customer interaction records
that satisfy the search parameters.

14. The method of claim 13, wherein the database
25 stores historical records of customer interactions.

15. A computer-readable storage medium storing an
advice documentation program executable by a client
computer, wherein the advice documentation program
30 comprises computer instructions for:
creating a record of a customer interaction;

selecting a type of the customer interaction;
and

collecting information about the customer
interaction based on the type of the customer
interaction.

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16. The computer-readable storage medium of claim
15, wherein the advice documentation program further
comprises computer instructions for creating a
suitability record for a customer.

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17. The computer-readable storage medium of claim
15, wherein the advice documentation program further
comprises computer instructions for creating an
assessment record for a customer.

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18. The computer-readable storage medium of claim
15, further storing an advice tracking program
executable by the client computer, wherein the advice
tracking program comprises computer instructions for:
selecting customer interaction records stored
in a database; and
reviewing the selected customer interaction
records.

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19. The computer-readable storage medium of claim
18, wherein the selected customer interaction records
are reviewed to monitor compliance with trading
regulations.

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20. The computer-readable storage medium of claim 18, wherein the advice tracking program further comprises computer instructions for:

- 5 searching the customer interaction records stored in the database according to one or more parameters; and
- presenting the customer interaction records that satisfy the search parameters.

10 21. The computer-readable storage medium of claim 20, wherein the database stores historical records of customer interactions.